

F. CHAU & ASSOCIATES, LLC

ATTORNEYS AT LAW

130 Woodbury Road
Woodbury, New York 11797

FACSIMILE: (516) 692-8889

TELEPHONE: (516) 892-8888

E-MAIL: mail@chauiplaw.com

FACSIMILE TRANSMISSION**DATE:** September 9, 2004**TO:** Office of Initial Patent Examination's Filing
Receipt Corrections
@ U.S. Patent and Trademark Office
Fax No.: (703) 746-9195**FROM:** Frank Chau
@ F. Chau & Associates, LLC**NO. OF PAGES TO FOLLOW:** 2**MESSAGE:****RE: U.S. Patent Application Serial No.: 10/779,457**
METHOD OF FORMING QUANTUM DOTS
AT PREDETERMINED POSITIONS ON A SUBSTRATE
Group Art Unit: 1762
Our Docket No.: YOR920030623US1 (8728-671)

Dear Sir/Madam:

Attached hereto, please find a Request for a Corrected Filing Receipt in connection with the above-identified patent application.

Upon review and acceptance, please provide us with an updated Corrected Filing Receipt.

Thank you,

Frank Chau

IN CASE OF INCOMPLETE OR INADEQUATE TRANSMISSION, PLEASE CALL (516) 692-8888**Confidentiality Notice:** The information contained in this facsimile message is legally privileged and/or confidential information intended only for the use of the individual or entity named above. If you are not the intended recipient, you are hereby notified that any use, dissemination, distribution, or copying of this facsimile or its content is strictly prohibited. If you have received this facsimile in error, please immediately notify us by telephone and return the original facsimile message to us by mail or destroy it without making a copy.

Thank you.

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Ross et al.

Group Art Unit: 1762

Serial No: 10/779,457

Docket: YOR920030623US (8728-671)

Filed: February 13, 2004

For: **METHOD OF FORMING QUANTUM DOTS AT PREDETERMINED
POSITIONS ON A SUBSTRATE**Office of Initial Patent Examination
Filing Receipt Corrections
PO Box 1450
Alexandria VA 22313REQUEST FOR A CORRECTED FILING RECEIPT


Sir:

It is respectfully requested that the Filing Receipt attached be corrected by changing the the inventor name from "Martin Kamler" to - "Martin Kammler" - as indicated in the Declaration as filed on July 13, 2004 via Notice of Missing Parts (a copy of the Declaration is enclosed).

A copy of the updated filing receipt which was mailed by the U.S. Patent and Trademark Office is attached with the correction indicated in red ink

Respectfully submitted,

By:


Frank Chau
Reg. No. 34,136
Attorney for ApplicantF. CHAU & ASSOCIATES, LLC
130 Woodbury Road
Woodbury, New York 11797
Tel.: (516) 692-8888
Fax: (516) 692-8889
FC:melCERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

I hereby certify that this correspondence is being deposited with the Office of Initial Patent Examination's Filing Receipt Corrections, PO Box 1450, Alexandria VA 22313-1450 via facsimile (703-746-9195) on September 9, 2004.

Dated: 
Frank Chau



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FILE FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/779,457	02/13/2004	1762	1116	YOR920030623US1 (8728-671	4	32	2

Frank Chau, Esq.
F. CHAU & ASSOCIATES, LLC
Suite 501
1900 Hempstead Turnpike
East Meadow, NY 11554

CONFIRMATION NO. 8968

UPDATED FILING RECEIPT



OC000000013570313

Date Mailed: 08/18/2004

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

KAMWLER
Martin Kamler, Dresden, GERMANY;
Frances M. Ross, Stamford, CT;
Mark C. Reuter, Montrose, NY;
Robert Hull, Afton, VA;
Yuri A. Vlasov, Katonah, NY;
Sharee J. McNab, Mahopac, NY;

Assignment For Published Patent Application

International Business Machines Corporation;

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted: 05/13/2004

Projected Publication Date: 08/18/2005

Non-Publication Request: No

Early Publication Request: No

Title

Method of forming quantum dots at predetermined positions on a substrate

Preliminary Class

427

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

PTO/SB/01 (6/95)

DECLARATIONAtty. No. YOR920030623US1 (8728-671)

AS A BELOW NAMED INVENTOR, I hereby declare that:

My residence, post office address and citizenship are as stated next to my name.

I believe that I am the original, first and sole (if only one name is listed below), or an original, first and joint inventor (if plural names are listed below), of the subject matter which is claimed and for which a patent is sought on the invention entitled:

TITLE: METHOD OF FORMING QUANTUM DOTS AT PREDETERMINED POSITIONS OF A SUBSTRATEthe specification of which either is attached hereto or indicates an attorney docket no. YOR920030623US1 (8728-671), or:O was filed in the U.S. Patent & Trademark Office on February 13, 2004 and assigned Serial No. 10/779,457.☐ and (if applicable) was amended on _____

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to patentability and to the examination of this application in accordance with Title 37 of the Code of Federal Regulations §1.56. I hereby claim foreign priority benefits under Title 35, U.S. Code §119(a)-(d) or §365(b) of any foreign application(s) for patent or inventor's certificate, or §365(a) of any PCT international application which designated at least one country other than the United States, listed below and have also identified below any foreign applications for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Priority Claimed:

(Application Number)	(Country)	(Day/Month/Year filed)
(Application Number)	(Country)	(Day/Month/Year filed)

I hereby claim the benefit under Title 35, U.S. Code, §120 of any United States application(s), or §119(e) of any United States provisional application(s), or §365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application(s) in the manner provided by the first paragraph of Title 35, U.S. Code, §112, I acknowledge the duty to disclose information material to patentability as defined in Title 37, The Code of Federal Regulations, §1.56(a) which became available between the filing date of the prior application and the national or PCT international filing date of this application:

(Application Serial Number)	(Filing Date)	(STATUS: patented, pending, abandoned)
-----------------------------	---------------	--

I hereby appoint the following attorneys: RICHARD M. LUDWIN, Reg. No. 33,010; KEVIN M. JORDAN, Reg. No. 40,277; CHRISTOPHER A. HUGHES, Reg. No. 26,914; JOHN E. HOEL, Reg. No. 26,279; JOSEPH C. REDMOND, Jr., Reg. No. 18,753; DOUGLAS W. CAMERON, Reg. No. 31,596; WAN YEE CHEUNG, Reg. No. 42,410; THU ANN DANG, Reg. No. 41,544; LOUIS P. HERZBERG, Reg. No. 41,500; DEREK S. JENNINGS, Reg. No. 41,473; STEPHEN C. KAUFMAN, Reg. No. 29,551; DANIEL P. MORRIS, Reg. No. 32,053; ALISON D. MORTINGER, Reg. No. 39,306; LOUIS J. PERCELLO, Reg. No. 33,206; ROBERT M. TREPP, Reg. No. 32,053; GAIL H. ZARICK, Reg. No. 43,303; RAFAEL A. PEREZ-PINEIRO, Reg. No. 46,041; and each of them of INTERNATIONAL BUSINESS MACHINES CORPORATION, Thomas J. Watson Research Center, P.O. Box 218, Yorktown Heights, New York 10598; to prosecute this application and to transact all business in the U.S. Patent and Trademark Office connected therewith and with any divisional, continuation, continuation-in-part, reissue or re-examination application, with full power of appointment and with full power to substitute an associate attorney or agent, and to receive all patents which may issue thereon, and request that all correspondence be addressed

Frank Chau, Esq.
F. CHAU & ASSOCIATES, LLC
130 Woodbury Road
Woodbury, New York 11797
Tel.: 516-692-8888

Page 1 of 2

I HEREBY DECLARE that all statements made herein of my own knowledge are true and all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under §1001 of Title 18 U.S. Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

FULL NAME OF FIRST OR SOLE INVENTOR: MARTIN KAMMLER Citizenship GERMANY

Inventor's signature: M. Kammler Date: 06-30-2004

Residence & Post Office Address: Goerlitzer Str. 47
01099 Dresden Germany

FULL NAME OF SECOND INVENTOR: FRANCES M. ROSS Citizenship UNITED KINGDOM

Inventor's signature: _____ Date: _____

Residence & Post Office Address: 27 Lindstrom Road, Apartment 3C,
Stamford Connecticut

FULL NAME OF THIRD INVENTOR: MARK C. REUTER Citizenship USA

Inventor's signature: _____ Date: _____

Residence & Post Office Address: 1 O'Connor Court
Montrose New York

FULL NAME OF FOURTH INVENTOR: ROBERT HULL Citizenship UNITED KINGDOM

Inventor's signature: _____ Date: _____

Residence & Post Office Address: 2732 Craigs Store Road
Afton, Virginia 22920

FULL NAME OF FIFTH INVENTOR: YURI A. VLASOV Citizenship RUSSIA

Inventor's signature: _____ Date: _____

Residence & Post Office Address: 89 Edgemont Road
Katonah New York 10536

FULL NAME OF SIXTH INVENTOR: SHAREE J. McNAB Citizenship NEW ZEALAND

Inventor's signature: _____ Date: _____

Residence & Post Office Address: 109 Cedar Road, Apartment C1
Katonah New York

Page 2 of 2

TO/SB/01 (6/95)

DECLARATIONAtty ID: to. YOR920030623US1 (8728-671)

AS A BELOW NAMED INVENTOR, I hereby declare that:

My residence, post office address and citizenship are as stated next to my name.

I believe that I am the original, first and sole (if only one name is listed below), or an original, first and joint inventor (if plural names are listed below), of the subject matter which is claimed and for which a patent is sought on the invention entitled:

TITLE: METHOD OF FORMING QUANTUM DOTS AT PREDETERMINED POSITIONS OF A SUBSTRATE

the specification of which either is attached hereto or indicates an attorney docket no. YOR920030623US1 (8728-671), or:

was filed in the U.S. Patent & Trademark Office on February 13, 2004 and assigned Serial No. 10/779,457,

and (if applicable) was amended on _____

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Inventor's signature: _____ Date: _____

Residence & Post Office Address: Goerlitzer Str. 47
01099 Dresden Germany

FULL NAME OF SECOND INVENTOR: FRANCES M. ROSS Citizenship UNITED KINGDOM

Inventor's signature: Frances Ross Date: July 1st 2004

Residence & Post Office Address: 27 Lindstrom Road, Apartment 3C,
Stamford Connecticut

FULL NAME OF THIRD INVENTOR: MARK C. REUTER Citizenship USA

Inventor's signature: Mark C. Reuter Date: July 1, 2004

Residence & Post Office Address: 1 O'Connor Court
Montrose New York

FULL NAME OF FOURTH INVENTOR: ROBERT HULL Citizenship UNITED KINGDOM

Inventor's signature: _____ Date: _____

Residence & Post Office Address: 2732 Craigs Store Road
Arlton, Virginia 22920

FULL NAME OF FIFTH INVENTOR: YURII A. VLASOV Citizenship RUSSIA

Inventor's signature: _____ Date: July 1, 2004

Residence & Post Office Address: 88 Edgemont Road
Katonah New York 10536

FULL NAME OF SIXTH INVENTOR: SHAREE J. McNAB Citizenship NEW ZEALAND

Inventor's signature: S. J. McNab Date: July 7th 2004

Residence & Post Office Address: 109 Cedar Road, Apartment C1
Katonah New York
17 Goldfinch Lane
Mahopac 11547

PTO/SB/01 (6/95)

DECLARATIONApp No. YOR920030623US1 (8728-671)**AS A BELOW NAMED INVENTOR**, I hereby declare that:

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Stamford Connecticut

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Inventor's signature: _____ Date: _____

Residence & Post Office Address: 1 O'Connor Court
Montrose New York

FULL NAME OF FOURTH INVENTOR: ROBERT HULL Citizenship UNITED KINGDOM

Inventor's signature: Robert Hull Date: 071204

Residence & Post Office Address: 2732 Craigs Store Road
Afton, Virginia 22920

FULL NAME OF FIFTH INVENTOR: YURIA A. VLASOV Citizenship RUSSIA

Inventor's signature: _____ Date: _____

Residence & Post Office Address: 89 Edgemont Road
Katonah New York 10536

FULL NAME OF SIXTH INVENTOR: SHAREE J. McNAB Citizenship NEW ZEALAND

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